

**APPLICATION FOR INCLUSION ON LIST  
OF ACKNOWLEDGED INSTITUTIONS**

I hereby apply to have the following financial institution, on its behalf and on the basis of this application (including the certification below), acknowledged under section 38 of the *Employment Pension Plans Regulation* and placed on the Superintendent's list of financial institutions to issue and administer

- Locked-In Retirement Accounts (LIRAs) and/or
- Life Income Funds (LIFs).

(Check one or both as applicable)

**Financial Institution Information**

1. \_\_\_\_\_  
(Name of Financial Institution)

2. \_\_\_\_\_  
(Name of Authorized Signing Officer)

3. \_\_\_\_\_  
(Title of Authorized Signing Officer)

4. \_\_\_\_\_  
(Mailing Address)  
\_\_\_\_\_  
\_\_\_\_\_

5. \_\_\_\_\_ (Telephone number)      \_\_\_\_\_ (Fax number)

6. \_\_\_\_\_  
(E-Mail address)

## **Certification**

I hereby certify that

- a) an addendum in the exact wording prescribed in Form 1/ Form 2 (as applicable) of Schedule 1 to the *Employment Pension Plans Regulation* (with the appropriate box ticked by the owner) will form a part of every LIRA/LIF issued by that financial institution, regardless of when it was issued,
- b) a copy of the addendum will be given to each LIRA/LIF owner in accordance with the legislation,
- c) each addendum will be amended as and when the prescribed form for that addendum legislatively amended and a copy of the amended addendum or the amendments given to all affected LIRA/LIF owners,
- d) the money held in the LIRA/LIF will be administered in accordance with the legislation, and
- e) in the case of a LIF issued to an original owner and if applicable, the part of the LIF to which the addendum is attached identifies any pension partner, as required by the asterisked part near the beginning of the addendum.

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Signature of Authorized Signing Officer

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Date

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## **COMMENTS AND INSTRUCTIONS**

This form must be completed by the financial institution applying for inclusion on the Superintendent's List of Acknowledged Financial Institutions, and signed by the Authorized Signing Officer. One form may be used to apply for both types of locked-in products (LIRA and LIF).

This application must be sent to:

**Alberta Finance  
Superintendent of Pensions  
#402, 9515 – 107 Street  
Edmonton, Alberta, T5K 2C3**

If you have any questions, call (780) 427-8322